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# UNIVERSITY OF MINNESOTA

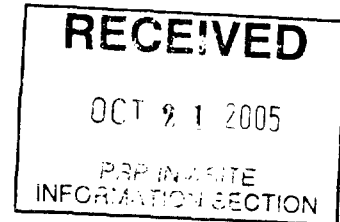
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*Office of the General Counsel*

360 McNamara Alumni Center  
200 Oak Street S.E.  
Minneapolis, MN 55455  
Office: 612-624-4100  
Fax: 612-626-9624

October 12, 2005

Harry Steinmetz  
US Environmental Protection Agency  
Region 3  
1650 Arch Street  
Philadelphia, PA 19103-2029



Re: USEPA Information Request Dated July 21, 2005  
Safety Light Corporation Site, Bloomsburg, Pennsylvania

Dear Mr. Steinmetz:

I am writing in response to the information request of USEPA dated July 21, 2005. In accordance with your request, we are responding by number to each of the questions posed in your request.

1) The University of Minnesota ("University") can find no evidence of a business relationship between it and Safety Light. The attachments to your information request appear to be some indication of purchases made by the University of various items. However, they are from a time period from 1957 to 1965 and the records from that period have been destroyed pursuant to University document retention policies. We have conducted a reasonable and diligent search and interviewed current and past personnel who might potentially have knowledge. None of these individual provided any evidence of a relationship between the University and Safety Light.

2) Based on our search of our records and interviews of personnel, we can find no evidence that the University ever transported any hazardous substances or radioactive waste or other wastes that were disposed of or reclaimed by U.S. Radium, Lime Ridge Industries, USR Industries, USR Metals, or Metreal or Isolite to the Site.

3) Not applicable.

4) No.

5) Not applicable.

6) No.

HARRY STEINMETZ  
OCTOBER 12, 2005  
PAGE 2

7) Not applicable.

8) None.

9) We do not know if there are any documents solicited by this information request, which are no longer available. The document retention policy for the Purchasing Department authorizes the destruction of such documents after six fiscal years. I have enclosed for you a copy of our current Retention Policy.

Please call me if you have questions about our response or if there is additional information for which you would like us to search.

Sincerely,



William P. Donohue  
Deputy General Counsel

Enclosure

WPD/caa

cc: Craig Moody  
Jerry Staiger



UNIVERSITY OF MINNESOTA

DELEGATIONS LIBRARY

FORMS LIBRARY

POLICY LIBRARY

STANDARD CONTRACTS LIBRARY

## FIND A POLICY

## Browse by Process

[View it here](#)

## Search by Title

Go

\*Includes all Policies

## Search Full Text

Go

\*Excludes Regents, HR

## Browse by Categories

- [Acad/Admin](#)
- [Financial](#)
- [Human Resources](#)
- [Board of Regents](#)
- [Senate](#)

## Alphabetical List

[View it here](#)

## Other U-Wide Policy Sites

-- Select --

## UNIVERSITY OF MINNESOTA | POLICY

Financial Policy 3.9.1

[Printable Ver](#)

## Managing University Records Retention



## Policy Sections

- [Policy Statement](#)
- [Reason for Policy](#)
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- [Definitions](#)
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Effective: December 1999

[Revision History](#)

## Responsible University Officer

University Controller

## Responsible Office

Records and Information Management

## Policy Statement

The University of Minnesota's Records Management program provides systematic control of information from creation to final disposition. The Records Management program also provides a timetable and consistent procedures for maintaining the University's information on all campuses and in all media, moving the records to inactive storage when appropriate, and disposing of the records when they are no longer valuable to the organization.

## Reason for Policy

The Records Management program will do the following: reduce the cost of records maintenance; retain records as required by federal, state, and other regulatory agencies; preserve the records that are vital to the University; and provide needed documentation in the event of litigation.

## Who Should Know This Policy

- ☐ President
- ☐ Senior Administration
- ☐ Dean, Director, Department Head
- ☐ Faculty
- ☐ Finance Personnel
- ☐ Human Resources Personnel
- ☐ Information Technology Personnel
- ☐ Sponsored Projects Personnel
- ☒ All Employees
- ☐ Students
- ☐ Affiliated Groups

## Related Information

- [University-wide Record Retention Schedule](#)
- [Minnesota Government Data Practices Act](#)
- [University Procedure 2.5.1.1: Obtaining Public Information](#)

- University Policy 2.5.2: Internal Access to University Information
- University Policy 2.5.1 Public Access to University Information
- Depositing Material in the University Archive
- Regents Policy: Student Records
- Family Educational Rights and Privacy Act
- Record Storage Guidelines

## Contacts

subject	contact	phone/email
Waste Management/Recycling	Facilities Management	<a href="http://facm.umn.edu/">http://facm.umn.edu/</a>
Legal Questions	Office of the General Counsel	Phone: (612) 624-4100 Fax: (612) 626-9624 <a href="http://www.ogc.umn.edu/">http://www.ogc.umn.edu/</a>
Academic Records - TC	Office of the Registrar	Phone: (612) 625-9019 Fax: (612) 624-4943 <a href="http://www1.umn.edu/tc/students/grades/">http://www1.umn.edu/tc/students/grades/</a>
Academic Records - Duluth	Office of the Registrar	Phone: (218) 726-8792 Fax: (218) 726-6144 <a href="http://www.d.umn.edu/sss/registrar/index.html">http://www.d.umn.edu/sss/registrar/index.html</a>
Academic Records - Crookston	Office of the Registrar	Phone: (218) 281-8547 Fax: (218) 281-8050 <a href="http://www.crk.umn.edu/people/services/registrar/registrar">http://www.crk.umn.edu/people/services/registrar/registrar</a>
Academic Records - Morris	Office of the Registrar	Phone: (320) 589-6030 Fax: (320) 589-6025 <a href="http://www.mrs.umn.edu/services/registrar/transcript.shtml">http://www.mrs.umn.edu/services/registrar/transcript.shtml</a>
Contract/Bid Awards	Purchasing Services	Phone: (612) 624-2828 Fax: (612) 626-0366 <a href="http://purchserv.finop.umn.edu/">http://purchserv.finop.umn.edu/</a>
Questions from Media	Institutional Relations	Phone: (612) 624-2828 Fax: (612) 626-0366 <a href="http://www1.umn.edu/urelate/">http://www1.umn.edu/urelate/</a>
Salary Records	Payroll Services	Phone: (612) 624-3869 Fax: (612) 626-1053 <a href="http://www1.umn.edu/ohr/payroll/location.htm">http://www1.umn.edu/ohr/payroll/location.htm</a>
Employment Records	Office of Human Resources	Phone: (612) 625-8328 Fax: (612) 627-4515 <a href="http://www1.umn.edu/ohr/">http://www1.umn.edu/ohr/</a>
Other Questions	Records and Information Management	(612) 625-3497 <a href="mailto:s-mcki17@cafe.tc.umn.edu">s-mcki17@cafe.tc.umn.edu</a>

## History

**Amended:** - January 2003 - Added Retention Guidelines for Financial Documents to appendices.

**Effective:** December 1999

**Supersedes:** Retention, Archival, and Destruction of Records and Record Retention Schedule A

**REPLACES:** 4/89, 4/92, 1/93.

To obtain a copy of a historical policy, e-mail the U Policy Librarian at [process@tc.umn.edu](mailto:process@tc.umn.edu) or call 624-4372.

## Definitions

### Active Files

Files needed to support the current business activity of a department. The active period may be determined by record category (see the [U-Wide Retention Schedule](#) ).

### Archival Files

Files which have long-term value to the University, such as historical documents.

### Inactive Files

Files for which the active period has passed and are being held for the remainder of the specified retention period. May be located in a storage area.

**Information / Data Classifications** A determination that information requires a specific degree of protection against unauthorized disclosure or modification. Examples of classification at the University of Minnesota are:

- **Public**

Information / Data that is available to anyone for any reason.

See [Appendix A - Examples of Public, Private, & Confidential Information](#) for examples.

- **Private**

Information / Data about an individual that is available only to the subject and to anyone authorized by the subject or by law to see it.

See Appendix A for examples. Private information / data that is not about an individual is called "non-public data" (for example, trade secrets).

- **Confidential**

Information / Data about an individual that is not available to the public or to the subject. Available to authorized University employees.

See Appendix A for examples. Confidential information / data that is not about an individual called "protected non-public data" (for example, sealed bids).

- **Data on Decedents**

This information is available to the spouse, child or parents. Private and confidential data on decedents is public 10 years after their death and 30 years after creation of data.

### University Records

Documents in any format (including written and printed matter, drawings, maps, plans, photographs; microforms; motion picture films, sound and video recordings; computerized data on disk or tape) or copies thereof made or received by an academic or administrative office of the University in connection with the transaction of University business, and retained by such office as evidence of the activities of the University or because of the information contained therein.

### Records Management

The systematic control of information from creation to final disposition.

### Retention Period

The length of time for which a college, department, or unit is responsible for the maintenance of a particular type of record. The retention period begins when the fiscal year ends for the referenced transaction.

## Responsibilities

### Departments

Retaining records according to the [University-wide Record Retention Schedule](#) , forwarding records to the archive when appropriate, and disposing of University records appropriately when applicable.

### Records and Information Management Office

Provides a timetable and consistent procedures for maintaining the University's information, moving the records to inactive storage when appropriate, and destroying the information when it is no longer

valuable to the organization. Also serves as Responsible Authority as required by the Minnesota Government Data Practices Act (MGDPA).

## **Procedures**

In support of this policy, the following procedure is included:

[Disposing of University Records](#)

## **Appendices**

In support of this policy, the following appendix is included:

[University-wide Record Retention Schedule](#)  
[Retention Guidelines for Financial Documents](#)

[http://www.fpd.finop.umn.edu/groups/ppd/documents/Policy/record\\_retention.cfm](http://www.fpd.finop.umn.edu/groups/ppd/documents/Policy/record_retention.cfm)  
Updated: April 30, 2004

### **Privacy Statement**

The University of Minnesota is an equal opportunity educator and employer.  
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Office: Policy and Process Development

### **Server Problems**

**Content Questions:**  
[process@tc.umn.edu](mailto:process@tc.umn.edu)

**Records and Information Management****UNIVERSITY OF MINNESOTA  
RECORDS RETENTION SCHEDULE  
May, 2004**

The University of Minnesota Records Retention Schedule applies to all University departments, units, and agencies. In addition, this retention schedule applies to all formats of information, including but not limited to hard copy paper records, electronic media, and microforms. Departments and units are encouraged to use electronic formats to manage and store their information, however electronic records must be maintained and accessible according to the following retention schedule and destroyed when the retention period for that format has been met. Electronic records such as word processing documents may be destroyed if a paper copy has been made and filed in the unit's record keeping system.

**A****A-133 REPORTS**

This series consists of A-133 Reports. Master record maintained at Accounting Services.

Recommended retention:

- A. Duplicates: Retain until updated.

**ABSENCE CARDS**

This series documents vacation and sick leave taken by employees. Master record maintained by Departments.

Recommended retention:

- A. Master Record: 4 fiscal years.
- B. Duplicates: Retain until obsolete, superseded or administrative value is lost.

**ACCESS RECORDS**

This series documents access by employees to workstations and buildings.

Recommended retention:

- A. 1 year after access terminated.

**ACCOUNTS RECEIVABLE RECORDS**



This series consists of documentation of charges made (i.e. invoices) and payments received for goods and services provided by the University units. Accounts receivables exist when there is a timing difference between providing the goods or services and the payment of the same.

Recommended retention:

- A. Non-Sponsored Accounts: 3 fiscal years.
- B. Sponsored Accounts: 6 years after submission and acceptance of final invoice.
- C. Duplicates: Maintain until verified to ledger..

## **ACCREDITATION RECORDS**

This series consists of reports and supporting information documenting the process of becoming accredited and/or activities associated with reporting and/or confirming accreditation by professional, licensing and certifying associations.

Recommended retention:

- A. Retain records pertaining to current plus one previous accreditation period. *Prior to destruction, offer to University Archives.*

## **ADMINISTRATIVE POLICY RECORDS**

This series is arranged in alphabetical subject files, but may include chronological reading files, bound reports, tape recordings, photographs, and other information types, all of which document the activities of the Provosts, Vice Presidents, Assistant/Associate Vice Presidents, Deans and Assistant/Associate Deans.

Recommended retention:

- A. 3 fiscal years. *Prior to destruction, offer to University Archives.*

## **ADMINISTRATIVE SUPPORT RECORDS**

This series documents the administrative records that are used to carry out the functions of University offices.

Recommended retention:

- A. 3 fiscal years.

## **ADMISSIONS APPLICATIONS**

This series consists of applications of graduate and undergraduate students who have made applications to the University and have been denied, declined admission or did not appear to register. Master record maintained at Admissions or Graduate School.

Recommended retention:

- A. Duplicates: 1 year after term for which application processed provided no litigation is pending.

## **ADMISSIONS APPLICATIONS - REGISTERED STUDENTS**

This series consists of admissions applications of graduate and undergraduate students who have registered for classes. Master record maintained at Office of the Registrar or Graduate School.

Recommended retention:

- A. Duplicates: Retain until obsolete, superseded or administrative value is lost.

## **AFFIRMATIVE ACTION COMPLIANCE FORMS (FORMS 16 and 17)**

This series consists of Forms 16 and 17 which are used to document the hiring process. Forms include job description, minimum qualifications, where position was advertised and for how long and reason for non-selection. Master copy of the forms are to be sent to the Office of Human Resources.

Recommended retention:

- A. Faculty and P&A: Retain in search committee files for 7 years after search completed.  
B. All others: 30 months after job filled.

## **ANNOUNCEMENTS AND INFORMATION: ROUTINE**

This series consists of information transmitted between parties. This information does not result in the formulation of policy or contract. It may be transmitted internally between employees, or externally, and may include but is not limited to notices of seminars, conferences or workshops, queries regarding processes or ideas, electronic journals and general information of programs.

Recommended retention:

- A. Retain until obsolete, superseded or administrative value is lost.

## **ANNUAL & MONTHLY REPORTS .**

Recommended retention:

- A. 3 fiscal years. Prior to destruction, offer to University Archives..

## **B**

### **BALLOTS**

This series consists of ballots used by internal departmental or college committees.

Recommended retention:

- A. 60 calendar days after ballots counted and results posted.

### **BACKGROUND CHECK FILES**

This series consists of requests for, and results of, criminal and other background checks on employees. These records must be kept separate from the employee file and housed in a secure location.

Recommended retention:

- A. Hired: 7 years after termination of employment.  
B. Not Hired: 30 months after position filled..

### **BANK STATEMENTS**

Recommended retention:

- A. 5 fiscal years

## **BILLING RECORDS - SUBCONTRACTOR**

This series consists of subcontractor information regarding billing and includes monthly reconciliation records, invoices and correspondence. Master record of payments to vendors maintained at Disbursement Services.

Recommended retention:

- A. Non-sponsored Accounts: 3 fiscal years.
- B. Sponsored Accounts: 6 years after submission and acceptance of final invoice.

## **BUDGET FILES**

This series consists of internal budget worksheets and files.

Recommended retention:

- A. 3 fiscal years.

## **BUILDING PLANS, BLUEPRINTS AND DESIGN PLANS**

Master record maintained at Facilities Management.

Recommended retention:

- A. Duplicates: Retain until obsolete, suspended or administrative value is lost.

# **C**

## **CASH RECEIPT RECORDS**

This series includes documentation for payments received. May include but is not limited to cash register records, prenumbered receipts, ticket records, payment logs, cash journals and cash reconciliations.

Recommended retention:

- A. 8 fiscal years.

## **CHANGE ORDERS**

This series documents any changes to blanket purchase orders.

Recommended retention:

- A. 3 fiscal years.

## **CLASS INFORMATION**

This series consists of grade sheets, class schedules, class syllabi, class bulletins, class record books and course evaluations for each quarter.

Recommended retention:

- A. 1 year.

## **CONFERENCE RECORDS**

This series consists of but is not limited to registration materials, correspondence, financial reimbursement and public relations materials for

conferences.

Recommended retention:

- A. 3 fiscal years.

## COMMITTEE FILES

This series documents the service of individuals on university committees and boards.

Recommended retention:

- A. Retain until obsolete, superseded or administrative value is lost.  
*Prior to destruction, offer to University Archives.*

## CONTACT FILES

Recommended retention:

- A. Duplicates: 7 years after close of contract.

## CONSULTATION RECORDS

This series documents consultant services provided by University research assistants and research associates to private industry. May include but is not limited to correspondence, invoices and documentation of fees for services and equipment.

Recommended retention:

- A. 6 fiscal years after services provided or contract for services expires provided no litigation is pending.

## CONTRACT FILES

This series consists of University contracts with vendors or other entities. See Grants Management Records for retention of sponsored project records.

Recommended retention:

- A. 7 years after close of contract.

## CONTACT FOR PROFESSIONAL SERVICES

This series consists of contracts for consulting services provided by non-University sources, and may include contract amendments.

Recommended retention:

- A. Under \$10,000: Master record maintained at department: 6 fiscal years after termination of contract.  
B. Over \$10,000: Master record maintained at Purchasing Services: 6 fiscal years after termination of contract.  
C. Sponsored Accounts: 6 years after submission and acceptance of final invoice.

## COURSE AND PROGRAM RECORDS

This series consists of course description, outlines, objectives, program documentation and A96 forms used to create classes.

Recommended retention:

- A. Retain until obsolete, superseded or administrative value is lost.  
*Prior to destruction, offer to University Archives.*

E

## **EFFORT CERTIFICATION**

This series consists of effort certifications sent to sponsored projects administration for sponsored activity. Master record maintained by sponsored projects administration.

Recommended retention:

- A. Duplicates: Current plus one fiscal year.

## **EMPLOYMENT APPLICATIONS**

This series consists of applications for employment received from individuals seeking employment but were not hired.

Recommended retention:

- A. 30 months after job filled.

## **EQUIPMENT FILES**

This series documents purchases of equipment, and may include but is not limited to warranties and purchase information.

Recommended retention:

- A. 6 years after disposal of equipment.

## **EXPENSE BUDGET / REVENUE FORMS (EB/RB)**

This series consists of the \$EB and \$RB forms sent to the Budget Office, and are used to set up accounts. Master record maintained by the Budget Office.

Recommended retention:

- A. Budget Office: 3 fiscal years.
- B. On-line Forms-Direct Entry: 3 fiscal years.
- C. Sponsored Accounts: 6 years after submission and acceptance of final invoice.

# **F**

## **FINANCIAL REPORTS**

This series consists of copies of departmental computer generated fiscal reports.

Recommended retention:

- A. Retain until obsolete, superseded or administrative value is lost.

# **G**

## **GRADE CHANGE RECORDS**

This series consists of slips used by departments to change a student's grade on the official University transcript. Master record maintained at the Office of the Registrar.

Recommended retention:

- A. Duplicates: One calendar year.

## GRANTS MANAGEMENT RECORDS

This series documents the grants received by the department, and may include but is not limited to copy of the award document, fiscal documents, copies of Disbursement Services documents, copies of Payroll documents, reconciliation reports, packing slips and correspondence.

Recommended retention:

- A. Sponsored Projects Administration: 6 years after submission and acceptance of final invoice.
- B. Department and Units: 6 years after submission and acceptance of final invoice.

## GRANT PROPOSAL RECORDS

This series consists of the grant proposals sent to granting agencies, and may include but is not limited to proposals, reports, final reports and award documents.

Recommended retention:

- A. Awarded Grants: 6 years after submission and acceptance of final invoice.
- B. Not Awarded: 1 fiscal year.

## GRIEVANCE RECORDS

This series consists of department copies of grievance files.

Recommended retention:

- A. 7 years after resolved.

I

## INFORMATION REQUEST RECORDS

This series consists of correspondence accumulated in answering inquiries from the public.

Recommended retention:

- A. 60 days after response.

## INVENTORY RECORDS

This series consists of annual reports and property disposal forms. Master record maintained at Inventory Services.

Recommended retention:

- A. Duplicates: Current plus one fiscal year.

## IX/IV DOCUMENTS

*See University Documents*

K

## KEY DEPOSIT CARDS

This series consists of signature cards acknowledging receipt and return

of keys to department offices.

Recommended retention:

- A. 1 year after keys returned.

## **KEY LOG**

Recommended retention:

- A. 1 year after keys returned.

## **KEY REQUEST FORMS**

This series consists of Form BA16, requesting keys or lock changes from Facilities Support. Master record maintained at Facilities Support.

Recommended retention:

- A. 60 days after work completed.

# **M**

## **MEETING NOTICES**

This series consists of notices of meetings. Often, this series will act as an avenue to set up meetings by coordinating schedules or acting as a reminder of meetings. Formal meeting notices along with attendees, agendas, and minutes will be maintained as a separate series scheduled as Committee Files.

Recommended retention:

- A. Retain until obsolete, superseded or administrative value is lost.

## **MEMORANDA**

This series consists of interoffice or interdepartmental communications which do not subsequently result in the formulation of policies.

Recommended retention:

- A. Retain until obsolete, superseded or administrative value is lost.

# **P**

## **PACKING SLIPS**

This series consists of packing slips from items received.

Recommended retention:

- A. 1 fiscal year.

## **PAYROLL RECORDS**

This series may include but is not limited to copies of payroll records, such as W-2's, Earnings Records, Deduction Registers, and departmental abstracts. Master record maintained at Payroll.

Recommended retention:

- A. Payroll: 8 calendar years.
- B. Duplicates: Current plus one fiscal year.

## **PAYROLL REPORTS**

This series consists of year-to-date and leave-to-date reports. Master record maintained at Payroll.

Recommended retention:

- A. Payroll: 3 fiscal years.
- B. Duplicates: Retain until obsolete, superseded or administrative value is lost.

## **PERSONNEL FILES - DEPARTMENT/COLLEGE/UNIT COPIES**

This series consists of departmental files, and includes copies of hiring documents and PAF's. It may also include but is not limited to letters of commendation or recommendation, disciplinary letters, and other correspondence. For additional information, see Management of Employee Personnel Records.

Recommended retention:

- A. 7 years after termination of employment provided no litigation is pending.

## **PROMOTION AND TENURE RECORDS**

This series consists of documentation for the review process on promotions and tenure. May contain but is not limited to forms, letters and accompanying data. The letter granting promotion and/or tenure is kept in the Personnel File at Human Resources.

Recommended retention:

- A. Denied: 7 years after termination of employment provided no litigation is pending.
- B. Granted: Maintain until after next review period is complete.
- C. Duplicates: Retain until obsolete, superseded or administrative value is lost.

## **PURCHASING CARD RECORDS**

This series consists of the credit card transaction slips, receipts for purchase and the card holder activity report.

Recommended retention:

- A. Credit Card transaction slips: 1 fiscal year.
- B. Purchase receipts and CAR: 3 fiscal years.
- C. Sponsored accounts: copy credit card transaction slip and attach with purchase receipt to CAR, and retain for 6 years after submission and acceptance of final invoice.

## **PURCHASING RECORDS**

This series may include but is not limited to copies of Purchasing Services forms, such as award notice, POT's, contract bids, RX's and PC's. This does not include POT's entered on-line by departments. Master record maintained at Purchasing Services.

Recommended retention:

- A. Purchasing Services: Non-Sponsored Accounts: Master record: 3 fiscal years..



**B. Purchasing Services: Sponsored Accounts: Master record: 6 years after submission and acceptance of final invoice.**

**C. Duplicates: Non-Sponsored Accounts: Current plus one fiscal year.**

**D. Duplicates: Sponsored Accounts: 6 years after submission and acceptance of final invoice.**

## R

### READING FILES

This series consists of duplicates of all outgoing correspondence which is filed chronologically.

Recommended retention:

**A. Retain until obsolete, superseded or administrative value is lost.**

### RECEIPT BOOKS

This series consists of copies of receipts issued to students for fees charged in connection with classes.

Recommended retention:

**A. 3 fiscal years.**

### RECONCILIATION REPORTS

This series consists of computer generated reports used to reconcile shadow systems to CUFS.

Recommended retention:

**A. Current plus one fiscal year.**

### RESOURCE SUBJECT FILES

This series consists of publications, articles and other general resource information.

Recommended retention:

**A. Retain until obsolete, superseded or administrative value is lost.**

*Prior to destruction, offer internal publications to University Archives.*

### RESOURCE FILES

This series consists of publications, articles and other general resource information.

Recommended retention:

**A. Retain until obsolete, superseded or administrative value is lost.**

*Prior to destruction, offer to University Archives.*

## S

### SEARCH COMMITTEE RECORDS

This series may consist of but is not limited to minutes, reports, vitas, resumes, references of applicants and the affirmative action forms.

Recommended retention:

**A. 7 years after search completed provided no litigation or**

complaint is pending.

## **STATISTICAL AND SUMMARY RECORDS**

This series consists of daily, weekly, monthly, quarterly, and yearly reports and includes those generated from a computer database.

### Recommended retention:

- A. Retain until updated.

## **SPEAKER AND GUEST RECORDS**

This series documents invited speakers and guests, and may include but is not limited to travel records, budget information, contracts, programs, and correspondence.

### Recommended retention:

- A. 6 fiscal years.

## **STUDENT EDUCATION RECORDS**

This series consists of departmental copies of admission applications, transcripts, correspondence, drop/add forms, application for degree, registration information, change slips, notice of admission, student petition records and correspondence. Master record maintained at the Office of the Registrar or Graduate School. For additional information, see Student Records Management.

### Recommended retention:

- A. Duplicates: 1 year after graduation.

## **STUDENT EVALUATIONS OF FACULTY**

This series consists of summary sheets reflecting student evaluations of faculty and courses.

### Recommended retention:

- A. Retain until next review period of faculty member is complete.

## **STUDENT GRADUATION RECORDS**

This series may include but is not limited to balance sheets, lack notices, petitions, and graduation related correspondence. Master record maintained by the Office of the Registrar or Graduate School.

### Recommended retention:

- A. Graduates: 1 year after graduation.
- B. Non-graduates: Retain 7 years after termination of attendance unless special circumstances are present.

## **STUDENT PAYROLL RECORDS**

This series documents student employment at the department or unit level, and may include but is not limited to copies of employment forms, W-4 cards, payroll records and copies of social security cards. Master record maintained at Student Employment Services, or Payroll.

### Recommended retention:

- A. Duplicates: 3 fiscal years after termination of employment.

## **STUDENT SCHOLARSHIP RECORDS**

This series documents the award of scholarships to undergraduate and

graduate students.

Recommended retention:

- A. 3 Awarded: 5 fiscal years after award.
- B. Not awarded: 30 months after application closed.

## **STUDENT GRADUATION RECORDS**

This series may include but is not limited to balance sheets, lack notices, petitions, and graduation related correspondence. Master record maintained by the Office of the Registrar or Graduate School.

Recommended retention:

- A. Graduates: 1 year after graduation.
- B. Non-graduates: Retain 7 years after termination of attendance unless special circumstances are present.

## **T**

## **TELEPHONE MESSAGES**

This series consists of common telephone message books or slips filled out by employees, and may also include electronic phone messages.

Recommended retention:

- A. Retain until obsolete, superseded or administrative value is lost.

## **TIME CARDS**

Recommended retention:

- A. Non-Sponsored Accounts: 4 fiscal years.
- B. Sponsored Accounts: 3 years after submission and acceptance of final invoice, or if no report required, 39 months after submission and acceptance of final invoice.

## **U**

## **UNIVERSITY DISBURSEMENT SERVICES DOCUMENTS- CENTRAL ENTRY**

This series may include but is not limited to copies of Disbursement Services forms, such as PVA's, CR's, EB's, IX's, JV's, PVC's, TPA's, TP's, IV's, and ET's. This does not include documents entered on-line by departments (DDE). Master copy maintained at Disbursement Services.

Recommended retention:

- A. Disbursement Services: Master record: Non-Sponsored Accounts: 3 fiscal years.
- B. Disbursement Services: Master record: Sponsored Accounts: 3 years after submission and acceptance of final invoice, or if no report is required, 39 months after submission and acceptance of final invoice.
- C. Duplicates: Non-Sponsored Accounts: Current plus one fiscal year.
- D. Duplicates: Sponsored Accounts: 3 years after submission and acceptance of final invoice, or if no report required, 39 months after

submission and acceptance of final invoice.

## **UNIVERSITY DISBURSEMENT SERVICES DOCUMENTS- DISTRIBUTED ENTRY (DDE)**

This series consists of PVA's, EB's, IX's, JV's, PVC's, TPA's, TP's, IV's and ET's entered by departments or units approved to enter to CUFS.

(DDE)

### Recommended retention:

- A. Non-Sponsored Accounts: 3 fiscal years.
- B. Sponsored Accounts: 3 years after submission and acceptance of final invoice, or if no report required, 39 months after submission and acceptance of final invoice.

## **UNIVERSITY PURCHASING RECORDS**

This series may include but is not limited to copies of Purchasing Services forms, such as award notice, POT's, contract bids, RX's and PC's. This does not include POT's entered on-line by departments. Master record maintained at Purchasing Services.

### Recommended retention:

- A. Purchasing Services: Non-Sponsored Accounts: Master record: 3 fiscal years.
- B. Purchasing Services: Sponsored Accounts: Master record: 3 years after submission and acceptance of final invoice, or if no report required, 39 months after final submission and acceptance of final invoice.
- C. Duplicates: Non-Sponsored Accounts: Current plus one fiscal year.
- D. Duplicates: Sponsored Accounts: 3 years after submission and acceptance of final invoice, or if no report is required, 39 months after submission and acceptance of final invoice.

V

## **VACATION / SICK LEAVE RECORDS**

This series consists of the manual vacation/sick leave record kept by departments for employees.

### Recommended retention:

- A. 7 years after termination.

## **VACATION / SICK LEAVE RECORDS- SUMMARY RECORDS**

This series consists of the annual summary report sent to departments from payroll for those employees on bi-weekly payroll. Master record maintained at Payroll.

### Recommended retention:

- A. Duplicates: Retain until obsolete, superseded or administrative value is lost.

## VEHICLE RECORDS

This series consists of registration files, vehicle certificate of title, insurance coverage, accident reports, expense reports and insurance information for leased and department owned vehicles.

Recommended retention:

- A. Leased vehicles: 5 fiscal years.
- B. Department owned vehicles: 1 year after disposition of vehicle.

## VENDOR INVOICE (PV)

This series consists of the vendor invoice used to pay external billings from vendors. Master record maintained at Disbursement Services.

Recommended retention:

- A. Non-Sponsored Accounts: Duplicates: Current plus one fiscal year.
- B. Sponsored Accounts: Duplicates: 3 years after submission and acceptance of final invoice, or if no report required, 39 months after submission and acceptance of final invoice.

## W

## WORKSHOP RECORDS

This series consists of registration fees, publications and correspondence related to workshops conducted or sponsored by departments or units.

Recommended retention:

- A. 3 fiscal years.

For more information, contact Susan McKinney, CRM, at (612) 625-3497.

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